

Part of Paper No. 2

FORM PTO-1449 (REV. 2-32)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO.: 021932		SERIAL NO.: 09/453,364 <b>09/453,364</b>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				IN RE APPLICATION OF: Robert C. Slane			
				FILING DATE: December 1, 1999		GROUP ART UNIT: <del>2768</del> <b>3627</b>	
				FOR: Establishing and Managing Grantor Retained Annuity Trusts Funded by Nonqualified Stock Options			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
Franz, D.R., "How to Value Gifts of Employee Stock Options," The Tax Advisor, December 1998, pp. 848-855.							
Harrison, L.S., "Using Options to Allow Donees to Have the Donor's Cake and Eat It, Too," Taxes, March 1999, pp. 277-286.							
Renninger, M.K., "Company Stock Option Plans," Personal Financial Planning, January/February 1999, pp. 47-57.							
Renninger, M.K., "How and When to Exercise Options," Personal Financial Planning, March/April 1999, pp. 51-62.							
American Jurisprudence, Second Edition, Volume 34A (1999 Edition), Federal Taxation ¶ 143,001-183,320, pp. 896-902.							
Estate Planning & Taxation Coordinator, Grantor Retained Annuity Trust (GRAT), ¶ 39,141, September 7, 1999.							
Title 26 - Internal Revenue Code, Subtitle A, Chapter 1, Subchapter P, Part V, Subpart A, Sec. 1274, January 26, 1998.							
Title 26 - Internal Revenue Code, Subtitle B, Chapter 14, Sec. 2702, January 26, 1998.							
Title 26 - Internal Revenue Code, Subtitle F, Chapter 77, Sec. 7520, January 26, 2000.							
17 Code of Federal Regulations Ch. II (4-1-99 Edition), § 240.16b-3 Transactions Between an Issuer and Its Officers or Directors, pp. 360-362.							
Title 26 - Code of Federal Regulations, Volume 12, Part 1, [Revised April 1, 1999], Sec. 1.7520-1, pp. 1011-1012.							
Title 26 - Code of Federal Regulations, Volume 12, Part 1, [Revised April 1, 1999], Sec. 1.7520-3, pp. 1013-1017.							
Title 26 - Code of Federal Regulations, Volume 13, Parts 2 to 29, [Revised April 1, 1999], Sec. 20.7520-3, pp. 526-530.							
Title 26 - Code of Federal Regulations, Volume 13, Parts 2 to 29, [Revised April 1, 1999], Sec. 25.2702-1, pp. 662-663.							
Title 26 - Code of Federal Regulations, Volume 13, Parts 2 to 29, [Revised April 1, 1999], Sec. 25.2702-2, pp. 663-666.							
Title 26 - Code of Federal Regulations, Volume 13, Parts 2 to 29, [Revised April 1, 1999], Sec. 25.2702-3, pp. 666-670.							
Internal Revenue Bulletin, Revenue Rulings 98-21 and 98-34, Bulletin No. 1998-18, May 4, 1998.							
Part I, Section 1274, Rev. Rul. 99-41, October 1999.							
National Network of Estate Planning Attorneys, Web Page for Keys to Wealth Section, Dated October 15, 1999.							
NumberCruncher, Estate Planning Software, Web Page Information, Dated November 11, 1999.							
zCalc, Tax and Estate Planning Software, Web Page Information, Dated November 11, 1999.							
EXAMINER <b>AD Tischer</b> <b>8/25/02</b> <b>Considered all.</b>							
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.							